

NIH NATIONAL RESEARCH SERVICE AWARD INSTITUTIONAL RESEARCH TRAINING GRANTS

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National Institutes of Health

This program announcement supercedes the notice that appeared in the NIH Guide, Vol. 26, No. 16, May 16, 1997.

Application Receipt Dates: January 10, May 10, September 10 annually

PURPOSE

The National Institutes of Health (NIH) will award National Research Service Award (NRSA) Institutional Training Grants (T32) to eligible institutions to develop or enhance research training opportunities for individuals, selected by the institution, who are training for careers in specified areas of biomedical, behavioral, and clinical research. The purpose of the NRSA program is to help ensure that a diverse and highly trained workforce is available to assume leadership roles related to the Nation's biomedical and behavioral research agenda. Accordingly, the NRSA program supports predoctoral, postdoctoral, and short-term research training experiences.

The NIH institutes and centers may have special policies and requirements for their Institutional Research Training Grants (T32). Therefore, in the early stages of application preparation, applicants should contact the prospective NIH awarding component listed at the end of this announcement to discuss their specific policies.

Predocutorial Training. Predocutorial research training must lead to the Ph.D. degree or a comparable research doctoral degree. Students enrolled in health-professional programs who wish to postpone their professional studies in order to engage in full-time research training may also be appointed to an Institutional Research Training Grant. Predocutorial research training must emphasize fundamental training in areas of biomedical and behavioral sciences.

Postdoctoral Training. Postdoctoral research training is for individuals who have received a Ph.D., D.V.M., D.D.S., M.D., or a comparable doctoral degree from an accredited domestic or

foreign institution. Research training at the postdoctoral level must emphasize specialized training to meet national research priorities in the biomedical, behavioral, or clinical sciences.

Research training grants are a desirable mechanism for the postdoctoral training of physicians and other health professionals who may have extensive clinical training but limited research experience. For such individuals, the training may be a part of a research degree program. In all cases, postdoctoral trainees should agree to engage in at least 2 years of research, research training, or comparable activities beginning at the time of appointment since the duration of training has been shown to be strongly correlated with post-training research activity.

Short-Term Research Training for Health-Professional Students. Applications for Institutional Research Training Grants may include a request for short-term predoctoral positions reserved specifically to train medical or other health-professional students on a full-time basis during the summer or other "off-quarter" periods. Short-term appointments are intended to provide health-professional students with opportunities to participate in biomedical and/or behavioral research in an effort to attract these individuals into research careers.

Short-term research training positions should last at least 2 months but must not exceed 3 months. Individual health-professional students selected for appointment should be encouraged to obtain multiple periods of short-term research training during the years leading to their clinical degree. Such appointments may be consecutive or may be reserved for summers or other "off-quarter" periods. Since not all NIH institutes and centers support short-term research training positions, applicants are strongly urged to contact the appropriate NIH institute representative, listed at the end of this announcement, before requesting short-term research training positions.

Short-term appointments on regular NRSA Institutional Research Training Grants (T32), as described in this announcement, should not be confused with NRSA Short-Term Institutional Research Training Grants (T35) which are exclusively reserved for short-term research training appointments. Information about Short-Term Institutional Research Training Grants can be found at <http://grants.nih.gov/grants/guide/notice-files/not98-027.html>.

HEALTHY PEOPLE 2010

The Public Health Service (PHS) is committed to achieving the health promotion and disease prevention objectives of "Healthy People 2010," a PHS-led national activity for setting priority areas. This Program Announcement (PA), NRSA Institutional Research Training Grant, is related

to one or more of the priority areas. Potential applicants may obtain a copy of "Healthy People 2010" at <http://www.health.gov/healthypeople/>.

ELIGIBILITY REQUIREMENTS

Applicant Eligibility Requirements

Only domestic, non-profit, private or public institutions may apply for grants to support research training programs. The applicant institution must have a strong research program in the area(s) proposed for research training and must have the requisite staff and facilities to carry out the proposed program. The research training program director at the institution will be responsible for the selection and appointment of trainees to the NRSA research training grant and for the overall direction, management, and administration of the program.

Trainees appointed to the training program must have the opportunity to carry out supervised biomedical or behavioral research with the primary objective of developing or extending their research skills and knowledge in preparation for a research career.

Trainee Eligibility Requirements

Positions on NRSA institutional grants may not be used for study leading to the M.D., D.D.S., or other clinical, health-professional degrees except when those studies are a part of a formal combined research degree program, such as the M.D./Ph.D. Similarly, trainees may not accept NRSA support for studies that are part of residency training leading to clinical certification in a medical or dental specialty or subspecialty. It is permissible and encouraged, however, for clinicians to engage in NRSA supported full-time, postdoctoral research training even when that experience is creditable toward certification by a clinical specialty or subspecialty board.

Students enrolled in health-professional doctoral degree programs may receive support for a period of short-term, full-time research training as described above. Additionally, health-professional students or individuals in postgraduate clinical training may interrupt their studies for a year or more to engage in an extended period of full-time research training before completing their professional degree or other types of clinical training.

Trainees are required to pursue their research training on a full-time basis, devoting at least 40 hours per week to the program. Within the 40 hours per week training period, research trainees

who are also training as clinicians must devote their time to the proposed research training and must confine clinical duties to those that are an integral part of the research training experience.

Citizenship. To be appointed to a training position supported by an NRSA research training grant, an individual must be a citizen or noncitizen national of the United States or must have been lawfully admitted for permanent residence (i.e., in possession of a currently valid Alien Registration Receipt Card I-551, or some other legal verification of such status). Noncitizen nationals are generally persons born in outlying possessions of the United States (e.g., American Samoa and Swains Island). Individuals on temporary or student visas are not eligible.

Predoctoral Trainees. Predoctoral trainees must have received a baccalaureate degree by the beginning date of their NRSA appointment, and must be training at the postbaccalaureate level and enrolled in a program leading to a Ph.D. in science or in an equivalent research doctoral degree program. Health-professional students who wish to interrupt their studies for a year or more to engage in full-time research training before completing their professional degrees are also eligible.

Postdoctoral Trainees. Postdoctoral trainees must have received, as of the beginning date of the NRSA appointment, a Ph.D., M.D., D.D.S., or comparable doctoral degree from an accredited domestic or foreign institution. Eligible doctoral degrees include, but are not limited to, the following: D.M.D., D.C., D.O., D.V.M., O.D., D.P.M., Sc.D., Eng.D., Dr. P.H., D.N.Sc., D. Pharm., N.D., D.S.W., and Psy.D. Documentation by an authorized official of the degree-granting institution certifying all degree requirements have been met prior to the beginning date of training is acceptable.

Short-Term Health-Professional Trainees. To be eligible for short-term predoctoral research training positions, health-professional students must be enrolled and in good standing and must have completed at least one quarter in a program leading to a clinical doctorate prior to participating in the program. Individuals matriculated in a formal research degree program, or those holding a research doctorate or masters degree or a combined health-professional/research doctorate are not eligible for short-term training positions. Within schools of pharmacy, only individuals who are candidates for the Pharm.D. degree are eligible for short-term positions.

MECHANISM OF SUPPORT

Institutional NRSA research training grants may be made for periods up to 5 years and are renewable. Awards within an approved competitive segment are normally made in 12-month

increments with support for additional years based on satisfactory progress and the continued availability of funds.

Trainee appointments are normally made in 12-month increments. No trainee may be appointed for less than 9 months during the initial period of appointment, except with the prior approval of the NIH awarding unit or when health-professional students are appointed to approved, short-term research training positions.

No individual trainee may receive more than 5 years of aggregate NRSA support at the predoctoral level or 3 years of support at the postdoctoral level, including any combination of support from institutional training grants and individual fellowship awards. Any extension of the total duration of trainee support at either the predoctoral or postdoctoral level requires approval by the director of the NIH Institute or Center that supports the award. Requests for extension must be made in writing by the trainee, endorsed by the director of the training program and the appropriate institutional official, and addressed to the director of the awarding component. The request must include a compelling justification for an extension of the statutory limits on the period of support.

Special Program Considerations

The primary objective of the NRSA program is to prepare qualified individuals for careers that significantly impact the Nation's research agenda. Within the framework of the program's longstanding commitment to excellence and projected need for investigators in particular areas of research, attention must be given to recruiting individuals from racial or ethnic groups underrepresented in the biomedical and behavioral sciences. The following groups have been identified as underrepresented in biomedical and behavioral research nationally: African Americans, Hispanic Americans, Native Americans, Alaskan Natives, and Pacific Islanders. Use of the term "minority" in this announcement will refer to these groups.

Other considerations relate to the duration of training and the transition of trainees to individual support mechanisms. Studies have shown that the length of the appointment to a training grant for postdoctoral trainees with health-professional degrees strongly correlates with subsequent application for and receipt of independent NIH research support. Training grant program directors, therefore, should limit appointments to individuals who are committed to a career in research and plan to remain on the training grant or in some other type of research experience for a minimum of 2 years. It has also been shown that individuals who have been supported by an individual postdoctoral fellowship are more likely to subsequently apply for and receive NIH

research support than are individuals who have received support only from a research training grant. Therefore, program directors should encourage postdoctoral trainees who have proceeded beyond the didactic part of their training to apply for individual postdoctoral fellowships or mentored career development awards (K awards). During the review of training grants applications, peer reviewers will examine the training record to determine the average duration of training appointments for health-professional postdoctoral trainees and whether there is a record of transition to individual support mechanisms.

Past studies have shown that health professional trainees, who train in combined programs with post-doctoral researchers with an intensive research background, are more likely to apply for and receive research grant support. Programs located in clinical departments that focus on research training for individuals with an M.D. or other health-professional degrees should consider developing ties to basic science departments or modifying their program to include individuals with research doctoral degrees when such changes are consistent with the goals of the program. Applications should describe the basic science department's contribution to the research training experience and also indicate if both health professional trainees and trainees with research doctorates are included in the training program.

ALLOWABLE COSTS

Stipends. National Research Service Awards provide funds, in the form of stipends, to graduate students and postdoctoral trainees. A stipend is provided as a subsistence allowance to help trainees defray living expenses during the research training experience. It is not provided as a condition of employment with either the Federal Government or the awardee institution. Stipends must be paid to all trainees at the levels approved by the Secretary of the Department of Health and Human Services. Stipend levels are adjusted from time-to-time and current stipend levels are available on the NIH website at: <http://grants.nih.gov/training/nrsa.htm>.

Predoctoral Trainees. The annual predoctoral stipend for awards made with fiscal year 2000 funds is \$15,060. Stipend levels for fiscal years 2001 and beyond may change. Consult the NIH website above for the future announcements of stipend levels. For appointments of less than a year, the stipend will be based on a monthly pro-ration that is \$1,255 per month in fiscal year 2000.

Postdoctoral Trainees. The current annual stipend for postdoctoral trainees is determined by the number of FULL years of relevant postdoctoral experience at the time of appointment. Relevant experience may include research experience (including industrial), teaching, internship,

residency, clinical duties, or other time spent in full-time studies in a health-related field following the date of the qualifying doctoral degree. Stipend levels for fiscal years 2001 and beyond may change. Consult the NIH website above for the future announcements of stipend levels.

Postdoctoral stipends for awards made with fiscal year 2000 funds are as follows:

Years of Relevant Experience	Annual Amount
Less than 1	\$26,916
Greater than or equal to 1 but less than 2	\$28,416
Greater than or equal to 2 but less than 3	\$33,516
Greater than or equal to 3 but less than 4	\$35,232
Greater than or equal to 4 but less than 5	\$36,936
Greater than or equal to 5 but less than 6	\$38,628
Greater than or equal to 6 but less than 7	\$40,332
Greater than or equal to 7	\$42,300

Tuition, Fees, and Health Insurance. The NIH will offset the combined cost of tuition, fees, and health insurance (either self-only or family as appropriate) at the following rate: 100 percent of all costs up to \$3,000 and 60 percent of costs above \$3,000. Costs associated with tuition, fees, and health insurance are allowable only if they are required for all individuals in a similar research training status at the institution regardless of the source of support. A full description of the tuition policy is contained within the NRSA Policy Guidelines on the NIH website at:

http://grants.nih.gov/training/nrsaguidelines/nrsa_toc.htm

Other Trainee Costs. Trainee travel, including attendance at scientific meetings that the institution determines to be necessary to the individual's research training, is an allowable trainee expense. In addition, support for travel to a research training experience away from the institution may be permitted. Research training experiences away from the parent institution must be justified considering the type of opportunities for training available, the manner in which these opportunities differ from and compliment those offered at the parent institution, and the relationship of the proposed experience to the trainee's career stage and goals. This type of research training requires prior approval from the NIH. Letters requesting such training may be submitted to the NIH awarding component at any time during the award period. Under exceptional circumstances, which can include providing accommodations for a trainee with disabilities, it is possible to request institutional costs above the standard rate. Requests for additional trainee costs must be explained in detail and carefully justified in the application. Consultation with NIH program staff in advance of such requests is strongly advised.

The institution may receive up to \$167 per month to offset the cost of tuition, fees, health insurance, travel, supplies, and other expenses for each short-term, health-professional research training position.

Training Related Expenses: Institutional costs of \$2,000 a year per predoctoral trainee and \$2,500 a year per postdoctoral trainee may be requested to defray the costs of other research training related expenses, such as staff salaries, consultant costs, equipment, research supplies, and staff travel.

Facilities and Administrative Costs. A facilities and administrative allowance (indirect cost allowance) based on 8 percent of total allowable direct costs (this excludes amounts for tuition, fees, health insurance, and equipment) may be requested. Applications from state and local government agencies may request full indirect cost reimbursement. See NRSA Policy Guidelines on the NIH Website at: http://grants.nih.gov/training/nrsaguidelines/nrsa_toc.htm.

STIPEND SUPPLEMENTATION, COMPENSATION, AND OTHER INCOME

No departure from the established stipend schedule may be negotiated by the institution with the trainee. For postdoctoral trainees, the stipend for each additional full year of research training support is the next level in the stipend structure and does not change in the middle of an appointment. The grantee institution is allowed to provide funds to an individual in addition to the stipends paid by the NIH. Such additional amounts may be either in the form of augmented stipends (supplementation) or in the form of compensation, such as salary or tuition remission for services such as teaching or serving as a laboratory assistant, provided the following conditions described below are met. Under no circumstances may the conditions of stipend supplementation or the services provided for compensation interfere with, detract from, or prolong the trainee's approved NRSA training program.

Stipend Supplementation. Supplementation or additional support to offset the cost of living may be provided by the grantee institution. Supplementation does not require any additional effort from the trainee. Federal funds may not be used for supplementation unless specifically authorized under the terms of both the program from which such supplemental funds are to be received and the program whose funds are to be supplemented. Under no circumstances may DHHS funds be used for supplementation.

Compensation. An institution may provide additional funds to a trainee in the form of compensation (as salary and/or tuition remission) for services such as teaching or serving as a research assistant. A trainee may receive compensation for services as a research assistant or in some other position on a Federal research grant, including a DHHS research grant. However, compensated services should occur on a limited, part-time basis apart from the normal research training activities, which require a minimum of 40 hours per week. In addition, compensation may not be paid from a research grant supporting research that constitutes the research training experience.

Educational Loans or G.I. Bill. An individual may make use of Federal educational loan funds and assistance under the Veterans Readjustment Benefits Act (G.I. Bill). Such funds are not considered supplementation or compensation. Concurrent Awards. An NRSA may not be held concurrently with another federally sponsored fellowship or similar Federal award that provides a stipend or otherwise duplicates provisions of the NRSA.

Tax Liability. Internal Revenue Code Section 117 applies to the tax treatment of all scholarships and fellowships. Under that section, non-degree candidates are required to report as gross income any monies paid on their behalf for stipends, or any course tuition and fees required for attendance. Degree candidates may exclude from gross income (for tax purposes) any amount used for tuition and related expenses such as fees, books, supplies, and equipment required for courses of instruction at a qualified educational organization. The taxability of stipends, however, in no way alters the relationship between NRSA trainees and institutions. NRSA stipends are not considered salaries. In addition, trainees supported under the NRSA are not considered to be in an employee-employer relationship with the NIH or the awardee institution. It is therefore, inappropriate and unallowable for institutions to charge costs associated with employment (such as FICA, workman's compensation, or unemployment insurance) to the training grant. It must be emphasized that the interpretation and implementation of the tax laws are the domain of the Internal Revenue Service (IRS) and the courts. The NIH takes no position on the status of a particular taxpayer, and it does not have the authority to dispense tax advice. Individuals should consult their local IRS office about the applicability of the law to their situation and for information on their tax obligations.

PAYBACK PROVISIONS

As specified in the NIH Revitalization Act of 1993, NRSA recipients incur a service payback obligation only during their first 12 months of postdoctoral support. Additionally, the NIH Revitalization Act of 1993 specifies that the second and subsequent years of postdoctoral NRSA

training will serve to pay back a postdoctoral service payback obligation. Accordingly, the following guidelines apply:

- o Predoctoral trainees are not required to sign the payback agreement and do not incur a service payback obligation.

- o Postdoctoral trainees in the first 12 months of postdoctoral NRSA support must sign the payback agreement form (PHS form 6031) before initiating an appointment. Postdoctoral trainees in their first 12 months of support will incur a period of service payback obligation equal to the period of support.

- o Postdoctoral trainees in the 13th and subsequent months of NRSA postdoctoral support are not required to sign the payback agreement form and will not incur a service payback obligation for this period of support.

- o The 13th and subsequent months of postdoctoral NRSA support are considered acceptable payback service for prior postdoctoral support. For example, postdoctoral trainees who continue under that award for 2 years have fulfilled the obligation incurred during the first 12 months of support by the end of the second year. Service payback obligations can also be paid back by conducting health-related research or teaching averaging more than 20 hours per week of a full work year after terminating NRSA support.

- o Recipients with service obligations must begin to provide acceptable payback service on a continuous basis within two years of termination of NRSA support. The period for undertaking payback service may be delayed for such reasons as temporary disability, completion of residency requirements, or completion of the requirements for a graduate degree. Requests for an extension must be made in writing to the NIH specifying the need for additional time and the length of the required extension.

- o Recipients of NRSA support are responsible for informing the NIH of changes in status or address.

- o For individuals who fail to fulfill their obligation through service, the United States is entitled to recover the total amount of NRSA funds paid to the individual for the obligated period plus interest at a rate determined by the Secretary of the Treasury. Financial payback must be completed within 3 years beginning on the date the United States becomes entitled to recover such amount.

- o Under certain conditions, the Secretary, U.S. Department of Health and Human Services (or those delegated this authority) may extend the period for starting service or repayment, permit breaks in service, or in rare cases in which service or financial repayment would constitute an extreme hardship, may waive or suspend the payback obligation of an individual.

- o Officials at the awardee institution have the responsibility of explaining the terms of the payback requirements to all prospective training candidates before appointment to the training grant. Additionally, all trainees recruited into the training program must be provided with information related to the career options that might be available when they complete the program. The relationship of the positions available and the training provided must also be discussed along with the applicability of these positions to any outstanding service payback obligation.

Trainee Reporting Requirements

The institution must submit a completed Statement of Appointment (PHS Form 2271) for each trainee appointed or reappointed to the training grant at the beginning of the appointment period. Additionally, a completed Payback Agreement (PHS Form 6031) must be submitted for each trainee in their first twelve months of postdoctoral support. Within 30 days of the end of the total support period for each trainee, the institution must submit a Termination Notice (PHS Form 416-7). Failure to submit the required forms in a timely, complete, and accurate manner may result in an expenditure disallowance or a delay in any continuation funding for the award.

LEAVE

In general, trainees may receive stipends during the normal periods of vacation and holidays observed by individuals in comparable training positions at the grantee institution. For the purpose of these awards, however, the period between the spring and fall semesters is considered to be an active time of research and research training and is not considered to be a vacation or holiday. Trainees may receive stipends for up to 15 calendar days of sick leave per year. Sick leave may be used for the medical conditions related to pregnancy and childbirth. Trainees may also receive stipends for up to 30 calendar days of parental leave per year for the adoption or the birth of a child when those in comparable training positions at the grantee institution have access to paid leave for this purpose and the use of parental leave is approved by the program director.

A period of terminal leave is not permitted and payment may not be made from grant funds for leave not taken. Individuals requiring periods of time away from their research training experience longer than specified here must seek approval from the NIH awarding component for an unpaid leave of absence. At the beginning of a leave of absence, the trainee must submit a Termination Notice (PHS Form 416-7) and upon return from the leave of absence, the trainee must be formally reappointed to the grant by submitting an updated Statement of Appointment (PHS Form 2271). Trainees within the first twelve months of postdoctoral support must also submit a Payback Agreement (PHS Form 6031) upon return from a leave of absence.

PROTECTION OF HUMAN SUBJECTS

Inclusion of Women and Minorities in Research Involving Human Subjects. It is the policy of the NIH that women and members of minority groups and their subpopulations must be included in all NIH supported biomedical and behavioral research involving human subjects, unless a clear and compelling rationale and justification are provided that inclusion is inappropriate with respect to the health of the subjects or the purpose of the research. This policy results from the NIH Revitalization Act of 1993 (Section 492B of Public Law 103-43). All investigators proposing research involving human subjects should read the "NIH Guidelines For Inclusion of Women and Minorities as Subjects in Clinical Research," which have been published in the Federal Register of March 28, 1994 (FR 59 14508-14513), and in the NIH Guide for Grants and Contracts Vol. 23, No. 11, March 18, 1994, and is available on the web at the following URL address:

<http://grants.nih.gov/grants/guide/notice-files/not94-100.html> .

Inclusion of Children as Participants in Research Involving Human Subjects. It is the policy of NIH that children (i.e., individuals under the age of 21) must be included in all human subjects research, conducted or supported by the NIH, unless there are scientific and ethical reasons not to include them. This policy applies to all initial (Type 1) applications submitted for receipt dates after October 1, 1998.

All investigators proposing research involving human subjects should read the "NIH Policy and Guidelines on the Inclusion of Children as Participants in Research Involving Human Subjects " that was published in the NIH Guide for Grants and Contracts, March 6, 1998 and is available at the following URL address: <http://grants.nih.gov/grants/guide/notice-files/not98-024.html>.

Investigators may also obtain copies of these policies from the program staff listed under INQUIRIES. Program staff may also provide additional relevant information concerning the policy.

APPLICATION PROCEDURES

Applicants must use the grant application form PHS 398 (rev. 4/98). It contains special instructions for Institutional National Research Service Awards (T32).

Applications Requesting Short-term Training for Health Professional Students. Applicants who wish to include a request for short-term research training positions should identify short-term positions separately within the "stipends" and "training related expenses" categories on the budget page. Under "stipends," short-term positions should be listed in the "other" category. Tuition, fees, health insurance, and trainee travel, and other expenses are to be included in "training related expenses." The description of the short-term research training program should be included in the application for the regular research training program, but should be separated from the description of the regular program within each section of the application. In addition to the information requested in the "program plan" section, the applicant should address the relationship of the proposed short-term program to the regular research training program and provide assurance that the short-term program will not detract from the regular program. Applicants must observe the 25-page limit on the narrative section.

APPLICATION MATERIALS

To obtain application kits with instructions and forms, please contact your institutional office of sponsored research. Application kits may also be downloaded from the NIH website at <http://grants.nih.gov/grants/forms.htm#training> or it may be requested from the:

Division of Extramural Outreach and Information Resources
National Institutes of Health
6701 Rockledge Drive, Room 6207, MSC 7910
Bethesda, Maryland 20892-7910
Telephone: (301) 435-0714
FAX: (301) 480-0525

For faster service, send E-mail requests to grantsinfo@nih.gov. Please allow 2-4 weeks for U.S. mail requests.

APPLICATION RECEIPT DATES AND REVIEW SCHEDULE

Application Receipt Date	Initial Review Date	Council Review Date	Earliest Possible Start Date
Jan 10	Jun/Jul	Sep/Oct	Dec 1
May 10	Oct/Nov	Jan/Feb	Apr 1
Sep 10	Feb/Mar	May/Jun	Jul 1

Many institutes and centers review applications once or three times per year. A listing of these institutes and the appropriate receipt date(s) is provided below.

Application Institute/Center	Receipt Date(s)
NIA	May 10
NIAAA	May 10
NIAID	Sep 10
NIAMS	May 10
NICHHD	May 10
NIDCD	May 10
NIDDK	Jan 10, May 10, Sep 10
NIDCR	Sep 10
NIDA	May 10
NIEHS	May 10
NIGMS (postdoc. training grants)	Jan 10
NIGMS (predoc. training grants)	Jan 10, May 10, Sep 10
NEI	May 10
NHLBI	May 10
NHGRI	May 10
NIMH (except AIDS with 3 dates)	May 10
NINDS	May 10
NINR	May 10
NCI	Jan 10, May 10, Sep 10
NCCAM	Jan 10, May 10, Sep 10
NCRR	Jan 10, May 10, Sep 10

Applicants are encouraged to contact appropriate institute/center staff before preparing and submitting an application. (See the end of this announcement for a list of NIH contacts).

SUBMISSION

Submit a signed, typewritten original of the application (including the Checklist, Personal Data form, and all other required materials and five (5) exact, clear, single-sided photocopies of the signed application, in one package to:

CENTER FOR SCIENTIFIC REVIEW
NATIONAL INSTITUTES OF HEALTH
6701 ROCKLEDGE DRIVE, ROOM 1040
BETHESDA, MARYLAND 20892
BETHESDA, MARYLAND 20817 (express mail)

REVIEW CONSIDERATIONS

Complete applications will be assigned to the appropriate participating Institute and a suitable Scientific Review Group. Review groups are composed primarily of non-government scientists selected for their competence in research and research training in a particular scientific area. Applicants will be notified about their application's Institute and Review assignment.

Applications receive two sequential levels of review. The first level is an assessment of the merit of the proposed research training by the primary review group. Following the review, the Scientific Review Administrator, who coordinates the review of applications, prepares a written summary of the review of each application and forwards it to the appropriate staff contact within the Institute. The second level of review is at the Institute's Council Meeting.

Review Criteria

Although individual NIH Institutes and Centers may have specialized review criteria, most applications are evaluated using on the following criteria:

- o Past research training record of both the program and the designated preceptors as determined by the success of former trainees in seeking further career development and in establishing productive scientific careers. Evidence of further career development can include receipt of fellowships, career awards, further training appointments, and similar accomplishments.

Evidence of a productive scientific career can include a record of successful competition for research grants, receipt of special honors, a record of publications, receipt of patents, promotion to scientific positions, and any other measure of success consistent with the nature and duration of the training received.

- o Objectives, design, and direction of the research training program;
- o Caliber of preceptors as researchers, including successful competition for research support;
- o Institutional training environment, including the level of institutional commitment, quality of the facilities, availability of appropriate courses, and availability of research support;
- o Recruitment and selection plans for trainees and the availability of high quality candidates;
- o Record of the research training program in retaining health-professional postdoctoral trainees for at least 2 years in research training or other research activities;
- o When appropriate, the concomitant research training of health-professional postdoctorates (i.e., individuals with the M.D., D.O., D.D.S., etc.) with basic science postdoctorates (i.e., individuals with a Ph.D., etc.) or linkages with basic science departments.

Short-Term Research Training Positions: In addition to the above criteria, applications that request short-term research training positions will also be assessed using the following criteria:

- o Quality of the proposed short-term research training program including the commitment and availability of the participating faculty, program design, availability of research support, and training environment;
- o Access to candidates for short-term research training and the ability to recruit high quality, short-term trainees from the applicant institution or some other health-professional school;
- o Characteristics of the research training program that might be expected to persuade short-term trainees to consider academic/research careers, particularly in clinical areas;
- o Success in attracting students back for multiple appointments (competing continuation applications);

- o Effect of the short-term training program on the quality of the regular research training program or any existing, stand-alone short-term research training program; including the appropriateness of the number of short-term positions, and the plan to integrate the short-term training program into the regular research training programs;
- o Plan to follow former short-term trainees and to assess the effect of such research training on their subsequent careers.

ADDITIONAL REVIEW CONSIDERATIONS

Minority Recruitment Plan: The NIH remains committed to increasing the participation of individuals from underrepresented minority groups in biomedical and behavioral research. As first announced in 1989, all competing applications for institutional NRSA research training grants must include a specific plan to recruit and retain underrepresented minorities in the training program. In addition, all competing continuation applications must include a report on the recruitment and retention of underrepresented minorities during the previous award period. If an application is received without a plan or without a report on the previous award period, the application will be considered incomplete and will be returned to the applicant without review. Additional information on this requirement was published in the NIH Guide for Grants and Contracts, Volume 22, Number 25, July 16, 1993 (see <http://grants.nih.gov/grants/guide/1993/93.07.16/notice-recruitment-o004.html>).

As indicated above, competing continuation applications must include a detailed account of experiences in recruiting individuals from underrepresented groups during the previous award period. Information must be included on successful and unsuccessful recruitment strategies. The report should provide information on the racial/ethnic distribution of:

- o Students or postdoctorates who applied for admission or positions within the department(s) relative to the training grant,
- o Students or postdoctorates who were offered admission to or a position within the department(s),
- o Students actually enrolled in the academic program relevant to the training grant,
- o Students or postdoctorates who were appointed to the research training grant.

For those trainees who were appointed to the grant, the report should include information about the duration of research training and whether those trainees have finished their training in good standing. After the overall educational and technical merit of an application has been assessed, peer reviewers will examine and evaluate the minority recruitment plan. For competing continuation applications, the reviewers will also examine and evaluate the record of the program in recruiting and retaining underrepresented minority trainees during the previous award period. The panel will consider whether the experience in recruitment during the previous award period has been incorporated into the formulation of the recruitment plan for the next award period.

The plan will be discussed after the overall determination of merit. The review panel's evaluation will not be a factor in the determination of the priority score but will be included in an administrative note in the summary statement. If the minority recruitment plan or if the record of recruitment and retention of minorities is judged to be unacceptable, funding will be withheld until a revised plan that addresses the deficiencies is received. Staff within the NIH awarding component, with guidance from the appropriate national advisory committee or council, will determine whether amended plans and reports submitted after the initial review are acceptable.

Training in the Responsible Conduct of Research: Every predoctoral and postdoctoral NRSA trainee supported by an institutional research training grant must receive instruction in the responsible conduct of research. (For more information on this provision, see the NIH Guide for Grants and Contracts, Volume 21, Number 43, November 27, 1992, see <http://grants.nih.gov/grants/guide/1992/92.11.27/xnotic.htm>) Applications must include a description of a program to provide formal or informal instruction in scientific integrity or the responsible conduct of research. Applications without plans for instruction in the responsible conduct of research will be considered incomplete and may be returned to the applicant without review.

- o Although the NIH does not establish specific curricula or formal requirements, all programs are encouraged to consider instruction in the following areas: conflict of interest, responsible authorship, policies for handling misconduct, policies regarding the use of human and animal subjects, and data management. Within the context of training in scientific integrity it is also beneficial to discuss the mutual responsibilities of the institution and the graduate students or postdoctorates appointed to the program.

- o Plans must address the subject matter of the instruction, the format of the instruction, the degree of faculty participation, trainee attendance, and the frequency of instruction.

- o The rationale for the proposed plan of instruction must be provided.

- o Program reports on the type of instruction provided, topics covered, and other relevant information, such as attendance by trainees and faculty participation, must be included in future competing continuation and noncompeting applications. The NIH encourages institutions to provide instruction in the responsible conduct of research to all graduate students, postdoctorates, and research staff regardless of their source of support.

NIH initial review groups will assess the applicant's plans on the basis of the appropriateness of topics, format, amount and nature of faculty participation, and the frequency and duration of instruction.

The plan will be discussed after the overall determination of merit, so that the review panel's evaluation of the plan will not be a factor in the determination of the priority score. Plans will be judged as acceptable or unacceptable. The acceptability of the plan will be described in an administrative note on the summary statement. Regardless of the priority score, applications with unacceptable plans will not be funded until the applicant provides a revised, acceptable plan. Staff within the NIH awarding component will judge the acceptability of the revised plan. Following initial review, the appropriate NIH institute or center council, board, or other advisory group also reviews applications. These advisory groups will consider, in addition to the assessment of the scientific and educational merit of the research training grant application, the initial review group's comments on the recruitment of individuals from underrepresented minority groups into the research training program and the plan for instruction in the responsible conduct of research.

Notification. Shortly after the review meeting, each applicant will be sent notification of the Review Group's recommendation and the name and phone number of the Institute program official responsible for the application. When the program official representing the Institute receives the written summary of the review, prepared by the SRA after the review meeting, a copy will be forwarded to the applicant.

Following Council Review, the program official will notify each applicant of the final disposition of his/her application.

AWARD CRITERIA

Applications are selected for funding primarily on the basis of scientific and educational merit, but other factors are considered, such as: availability of funds, research program priorities, the

balance among types of research training supported by the awarding component, the acceptability of the plan for minority recruitment, and the acceptability of the proposal for instruction in the responsible conduct of research. The awarding NIH institute will notify the applicant of the final action shortly after advisory council review.

ADDITIONAL INFORMATION

For additional information, see the current document titled, Guidelines for National Research Service Awards, Individual Awards - Institutional Grants which is available on the NIH website at: <http://grants.nih.gov/training/nrsa.htm>

INQUIRIES AND NIH STAFF CONTACTS

Applicants are strongly encouraged to contact the individuals designated below, in advance of preparing an application, for additional information concerning the areas of research, receipt dates, and other types of pre-application instructions.

National Institute on Aging (NIA)

Dr. Robin Barr

Telephone: 301-496-9322

Email: rb42h@nih.gov

National Institute on Alcohol Abuse and Alcoholism (NIAAA)

Harold I. Perl, Ph.D.

Division of Clinical and Prevention Research

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Ernestine Vanderveen, Ph.D.

Division of Basic Research

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Vivian B. Faden, Ph.D.

Division of Biometry and Epidemiology

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E-mail: vfaden@willco.niaaa.nih.gov

National Institute of Allergy and Infectious Diseases (NIAID)

Dr. Milton Hernandez

Telephone: 301-496-7291

Email: mh35c@nih.gov

National Institute of Arthritis and Musculoskeletal and Skin Diseases (NIAMS)

Dr. Richard Lymn

Telephone: 301-594-5128

Email: rl28b@nih.gov

National Cancer Institute (NCI)

Note: The NCI has special policies and requirements for their T32 grants.

Refer to the following URL for this information:

<http://deainfo.nci.nih.gov/awards/supt32guideline.htm>

Drs. Lester Gorelic and Andrew Vargosko

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Email: sk5d@nih.gov

National Institute on Deafness and Other Communication Disorders (NIDCD)

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National Institute of Dental and Craniofacial Research (NIDCR)

Dr. James Lipton

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National Institute of Diabetes and Digestive and Kidney Diseases (NIDDK)

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Division of Digestive Diseases and Nutrition

Dr. Judith Podskalny

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Division of Kidney, Urologic, and Hematologic Diseases

Dr. Charles Rogers

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National Institute on Drug Abuse (NIDA)

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Division of Treatment Research and Development

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National Human Genome Research Institute (NHGRI)

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National Institute of Neurological Disorders and Stroke (NINDS)

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National Institute of Nursing Research (NINR)

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Email: nell_armstrong@nih.gov

National Center for Research Resources (NCRR)

Dr. John D. Strandberg

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Email: johns@ncrr.nih.gov

National Center for Complementary and Alternative Medicine (NCCAM)

Dr. Neal West

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Email: westn@od.nih.gov

AUTHORITY AND REGULATIONS

NRSA Institutional Research Training Grants are made under the authority of Section 487 of the Public Health Service Act as amended (42 USC 288). Title 42 of the Code of Federal Regulations, Part 66, is applicable to this program. This program is also described under the following numbers in the Catalog of Federal Domestic Assistance: 93.121, 93.172, 93.173, 93.272, 93.278, 93.282, 93.306, 93.361, 93.398, 93.821, 93.837-93.839, 93.846-93.849, 93.853-93.856, 93.859, 93.862-93.868, 93.871, 93.880, 93.894, and 93.929.

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